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Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Review of the rates of reimbursement to the Governments of troop-contributing States

Report of the Secretary-General*

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* The lateness of the submission was attributable to additional technical and substantive consultations.

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Summary

By its resolution 55/274 of 14 June 2001, the General Assembly requested the Secretary-General to submit a methodology for reimbursement of troop costs, covering troops and formed police units, taking into account the views expressed by Member States. In addition, the Assembly requested that a questionnaire be submitted to troop-contributing countries on the basis of elements and guidelines contained in the same resolution.

The Secretary-General proposes to maintain the existing troop-cost components in the current methodology and to include post-deployment medical costs and peacekeeping training costs as additional cost components. Criteria for the validity of the survey of troop contributors have also been incorporated in the proposed methodology. In addition, a proposal for the periodicity of the review of the rates of reimbursement is provided for the consideration of the General Assembly. A questionnaire based on the proposed methodology is contained in the annex to the present report.

The actions to be taken by the General Assembly are set out in section III of the present report.

I. Background

1. Prior to 1973, reimbursements to Governments for troops serving in a United Nations peacekeeping force were limited to all extra and extraordinary costs that Governments incurred in providing troops to the force. Consequently, costs such as basic pay and allowances, which Governments had normally been required to bear, were not reimbursable.

2. On 11 December 1973, at its twenty-eighth session, the General Assembly requested the Secretary-General to study the possibility of standardizing costs and determining a ceiling for reimbursement of troop costs, after appropriate consultations, and to report on the matter to the Assembly at its twenty-ninth session in connection with the financing of the United Nations Emergency Force (UNEF) and the United Nations Disengagement Observer Force (UNDOF).

3. On 29 November 1974, at its twenty-ninth session, the General Assembly decided that the rate of payment to troop-contributing countries for pay and allowances for their troops serving in the Forces should be standardized and that, commencing on 25 October 1973, the payments should be established at the rate of $500 per person per month, together with a supplementary payment of $150 per person per month for a limited number of specialists serving with the various Force contingents, on the understanding that the payment should be limited to a maximum of 25 per cent of their actual total strength for the logistic contingents and to 10 per cent for other contingents. The Assembly also decided that the rates of payment should be subject to its review.

4. The introduction of standard rates of reimbursement established the amounts payable, on an equal basis, to Governments for their troops, which serve side by side in peacekeeping forces. It was recognized that, based on a standard rate-of-reimbursement formula, some troop contributors would not receive full reimbursement for the expenses borne by them in providing troops to United Nations peacekeeping forces.

5. The new methodology for reimbursement was first applied to UNEF and UNDOF and was subsequently applied to military and formed police personnel in all peacekeeping operations.

6. The collection and compilation of comparable data on troop costs started in 1980 and culminated in the last survey conducted in 1996 (see A/54/763 of 21 February 2000). The standard rates of reimbursement were revised by the General Assembly in 1977, 1980, 1991, 2001 and 2002, the evolution of which is summarized in table 1 below.

Table 1
Standard rates of reimbursement
(United States dollars per person per month)

Category of reimbursement	*Effective date*					
	October 1973	*October 1977*	*December 1980*	*July 1991*	*July 2001*	*January 2002*
Pay and allowances, all ranks	500	680	950	988	1 008	1 028
Supplementary payment for specialists (25 per cent of logistic contingents and 10 per cent of other contingents)	150	200	280	291	297	303
Usage factor for personal clothing, gear and equipment, all ranks	-	65	65	65	66	68
Personal weaponry (including ammunition), all ranks	-	5	5	5	5	5

7. Having considered the latest report of the Secretary-General (A/54/763) on the 1996 review of the rates of reimbursement, the General Assembly, in its resolution 55/229 of 23 December 2000, requested the post-Phase V Working Group on reform procedures for determining reimbursement of contingent-owned equipment to consider the current methodology underlying the calculations of standard rates of reimbursement to troop contributors, including ways to produce timely and more representative data, and to report on the results of its review at the resumed fifty-fifth session of the General Assembly.

8. The post-Phase V Working Group did not reach a consensus in its consideration of the methodology on troop costs and submitted two proposals, as contained in the letter of the Chairman of the post-Phase V Working Group dated 26 January 2001 transmitting its report to the Fifth Committee (A/C.5/55/39, paras. 85-93).

9. By its resolution 55/274 of 14 June 2001, the General Assembly requested the Secretary-General to submit for its approval, taking into account the views expressed by Member States, a methodology for the reimbursement of troop costs, covering troops and formed police units, and a questionnaire to be submitted to troop contributors, on the basis of the elements and guidelines contained in the same resolution.

II. Proposed methodology

A. Summary

10. The troop-cost components covered under the current methodology would be maintained, with the addition of post-deployment medical costs and peacekeeping-related training costs, as shown in table 2. In addition, the coverage of the survey under the current methodology, which includes all former and current troop contributors, would be maintained, with specific guidelines set out in the questionnaire for the number of military personnel on which the response is to be based.

11. The items of personal clothing, personal gear and equipment would be modified to reflect the soldier's kit, as contained in the memorandums of understanding between the United Nations and troop contributors. Medical requirements, excluding those considered as national responsibility or endemic to specific peacekeeping operations, would be revised on the basis of the manual on contingent-owned equipment. Requirements for peacekeeping-related training would be updated on the basis of the proposed training manual of the Department of Peacekeeping Operations. For the first time, the proposed methodology would include criteria for the determination of the validity of the survey. A proposal for the periodicity of the review would also be provided for the consideration of the General Assembly. The proposed questionnaire, which is shown in the annex to the present report, would reflect the cost components in the proposed methodology.

12. The collection of cost information for other military personnel, i.e. military observers, would be excluded, in the light of the fact that military observers are directly compensated by the United Nations with a daily mission subsistence allowance applicable to the peacekeeping operation in which they serve and a standard clothing and equipment allowance of $200 per person per year.

13. The proposed methodology for the review of the rates of reimbursement is predicated on the following considerations: (a) direct costs incurred by troop contributors, and (b) simplicity of the data collection and analysis and efficiency in the reimbursement process. Detailed information on the proposed methodology is provided in section B below.

B. Cost components

Table 2
Cost components in the current and proposed methodology

Cost component	*Current*	*Proposed*
Basic salary and allowances for service in the home country	✓	✓
Additional salary and allowances for service in peacekeeping operations	✓	✓
Allowance for the usage of personal clothing, personal gear and equipment	✓	✓
Pre- and post-deployment medical costs	✓ [a]	✓
Travel costs	✓	✓
Peacekeeping-related training costs	[b]	✓
Insurance costs	[b]	-
Administrative and miscellaneous costs	[b]	-

[a] Covered pre-deployment costs only.
[b] Included in past surveys but excluded from the calculation of the absorption factor, as these were considered indirect costs.

1. Basic salary and allowances

14. Basic salary and allowances would be maintained in the calculation of the rates of reimbursement. This is predicated on the fact that these are essential direct costs incurred by all troop contributors. In addition, it is based on the consideration that,

while troop contributors might not receive full reimbursement for costs borne by them for their participation in United Nations peacekeeping operations, the rates would reimburse all troop contributors at least a portion of the costs incurred by them for their contribution to peacekeeping operations.

15. Part 1.A of the proposed questionnaire would request the average cost per person per month for basic salary and allowances by rank of personnel for service in the home country. In addition, the proposed questionnaire would request data on allowances for two main groups, comprising local allowances (accommodation, medical, education, clothing and uniform) and other additional allowances not covered under local allowances.

2. Additional salary and allowances

16. These costs would be maintained in the calculation of the rates of reimbursement, taking into account that additional salary and allowances are provided by some troop contributors for the participation of their troops in United Nations peacekeeping operations. This is based on the same consideration as detailed in paragraph 14 above.

17. Part 1.B of the proposed questionnaire would request the average cost per person per month for additional salary by rank of personnel while in service in United Nations peacekeeping operations. In addition, the questionnaire would request data on allowances for three main groups, comprising overseas allowance, foreign/war service allowance and other additional allowances not provided for in the other two groups.

3. Allowance for the usage of personal clothing, personal gear and equipment

18. The costs incurred by troop contributors for the usage of personal clothing, personal gear and equipment would be maintained in the calculation of the rates of reimbursement, on the basis that this would provide a simpler and more efficient reimbursement arrangement for direct costs incurred by all troop contributors. No reimbursement is currently provided for these costs under the self-sustainment arrangements.

19. As shown in part 2 of the proposed questionnaire, unit costs would be requested for various items of personal clothing, personal gear and equipment that are based on the minimum standard requirements in the soldier's kit, as provided in the memorandums of understanding between the United Nations and troop contributors.

4. Pre- and post-deployment medical costs

20. Medical requirements for service in peacekeeping operations for both civilian and military personnel are based on the medical standards for recruitment and assignment established by the Medical Services Division of the United Nations Secretariat. The Medical Services Division also formulates and reviews health policies, including vaccination requirements, in consultation with the World Health Organization. With the exception of mandatory vaccinations considered as part of the national responsibility, reimbursement for additional medical costs are covered under the standard rates of reimbursement, self-sustainment arrangements and the submission of claims, as explained in detail below.

21. Pre-deployment medical costs covered under the current methodology would be maintained. Post-deployment medical costs incurred by troop contributors would be included as a new element in the methodology, in recognition of the United Nations responsibility for ensuring that returning military personnel are in good medical condition. The medical requirements to be covered under the rates of reimbursement would, therefore, include pre- and post-deployment medical and dental radiology examinations and blood tests, as well as pre-deployment vaccinations for hepatitis and meningitis, which are recommended for normal-risk missions (see A/C.5/55/39, para. 95).

22. As set out in the manual on contingent-owned equipment, mandatory vaccinations (diphtheria, pertussis, tetanus, poliomyletis and typhoid) and initial pre-deployment malaria prophylaxis, which are considered as part of the national responsibility, will be excluded. Malaria prophylaxis provided to troops following their deployment would also be excluded, taking into account that these costs are reimbursed under the self-sustainment arrangements. Moreover, vaccinations that are endemic to high-risk missions, e.g. Japanese encephalitis, would be excluded and the current arrangement of reimbursing troop contributors for mission-specific vaccines through the submission of claims for actual costs would be maintained.

23. Part 3.A of the proposed questionnaire would request the average cost per person for pre- and post-deployment medical costs for medical and dental radiology examinations, various blood tests and additional vaccinations and related supplies that are recommended for normal-risk missions.

5. Travel costs

24. Travel costs incurred by troop contributors for their participation in United Nations peacekeeping operations would be maintained in the calculation of the rates of reimbursement. These would include the cost of passports and transportation costs for the inland travel of troops to and from the point of embarkation and disembarkation. The use of standard rates would simplify reimbursement to all troop contributors for direct costs incurred for travel, taking into account divergences in the geographical size of troop-contributing countries and the frequency of deployment, rotation and repatriation of personnel.

25. Part 3.B of the proposed questionnaire would request the average costs per person for passport issuance and for inland travel to and from the point of embarkation and disembarkation, as specified in the memorandums of understanding. The guidelines to the proposed questionnaire would indicate that the average cost for inland travel should be based on the mode of transport normally used by the troop contributor.

6. Peacekeeping-related training costs

26. Under the current methodology, training costs cover the coordination of conferences, recruitment campaigns, training aids, food and allowances while in training. These were treated as indirect costs and excluded from the calculation of the rates of reimbursement.

27. The post-Phase V Working Group had proposed that reimbursement of training costs should be effected on the basis of letters-of-assist concluded by troop contributors with the United Nations on a case-by-case basis. That proposal took

into account disparities in scope and types of peacekeeping-related training programmes conducted by troop contributors and the fact that related reimbursements would cover the actual costs incurred. However, taking into account the frequency of the deployment and rotation of military personnel, this reimbursement arrangement would require additional administrative support for the completion of letters-of-assist and the processing of related payments. In addition, this arrangement would pose difficulties in planning resource requirements for a future period, given that the deployment of military personnel is subject to unforeseen operational changes and/or adjustments and that the costs incurred, which may vary widely among troop contributors, would be actually determined only after the budget preparation process.

28. The importance placed by the General Assembly on the development and provision of standardized peacekeeping training guidance to military personnel prior to their deployment to peacekeeping missions has led to the formulation of the proposed manual on the standardization and evaluation of United Nations peacekeeping training by the Department of Peacekeeping Operations. The manual sets out the standards and guidelines for peacekeeping training programmes for military observers, military contingent personnel and civilian police personnel, with the objectives of enhancing Member States' preparedness to participate in peacekeeping operations and ensuring that the most appropriate military capability available is deployed.

29. In the light of the above, it is proposed that direct costs incurred by troop contributors for pre-deployment peacekeeping training of contingent personnel and formed police units should be included in the calculation of the rates of reimbursement. These costs would cover course fees, training materials, rental of training facilities, and food and travel costs to the training venues.

30. This proposal presumes that troop contributors will use the proposed manual, when officially issued, as a guide in the formulation of their pre-deployment training programmes for the deployment of their troops to a specific peacekeeping operation. In addition, inclusion of this component in the methodology would provide a simpler method of reimbursement, compared with reimbursement through the actual submission of claims from troop contributors and given the frequency of the deployment and rotation of military personnel.

31. Part 4 of the proposed questionnaire would request information on the average cost per person for pre-deployment peacekeeping training on the basis of the prescribed list of courses set out in the proposed manual and on the basis of the cost elements in paragraph 29 above.

7. Insurance costs

32. The post-Phase V Working Group considered the inclusion of insurance in the methodology. It is proposed that insurance costs should be excluded from the proposed methodology, taking into account the fact that the United Nations provides death and disability compensation to military and formed police personnel and that any other insurance should be the national responsibility of the troop contributors.

8. Administrative and miscellaneous costs

33. These costs would be excluded from the methodology, owing to the fact that these are indirect costs.

C. Coverage of the review

34. The current procedure of transmitting the questionnaire to all former and current troop contributors would be maintained. For current troop contributors that participate in more than one peacekeeping operation, it is proposed that only one response be provided on the basis of its largest contribution. For former troop contributors, the response would be based on current cost data for a theoretical contribution of an 800-person infantry unit to peacekeeping operations.

D. Validity of the survey

35. In paragraph 9 of its resolution 55/274, the General Assembly decided that the future standard rate of reimbursement should be based on new survey data that is representative of the costs incurred by around 60 per cent of troop contributors.

36. Accordingly, the methodology for the review of the rates of reimbursement would include the provision that the validity of the survey would be based on the receipt of valid responses from 60 per cent of the total number of troop contributors surveyed. The validity of a response would be based on its conformity with the guidelines to the questionnaire.

37. In one of the methodologies submitted by the post-Phase V Working Group, it was proposed that the standard rate should be calculated on the basis of the average rates presented, excluding the highest and lowest 25 per cent of the responses from the survey. This would imply that a total of 50 per cent of the responses would be eliminated from the calculation of the average rate. To illustrate, if a total of 100 troop contributors were surveyed and only 60 responses were received, the 15 highest and 15 lowest responses to the survey would have to be excluded. This would result in the average rate being based on a total of only 30 responses from a total of 100 troop contributors surveyed, representing only 30 per cent of the total.

38. In view of the above, it is proposed that only the highest and lowest 5 per cent of the valid responses should be excluded from the calculation of the average rate to eliminate the effect of extreme values. Even if only 60 per cent of the total responses are deemed as valid, the average rate would be calculated on the basis of 50 per cent of the valid responses, which would reflect a more representative sample of the total number of troop contributors surveyed.

E. Analysis of the survey

39. The current methodology would be retained for the analysis of responses. Cost information would be requested in national currency as of a fixed reference date to be decided by the General Assembly. For comparability, cost data would be converted to United States dollars based on United Nations operational exchange rates as at the same reference date.

40. Each respondent's average cost per person by cost component would be derived as a weighted average based on the number of personnel. The average cost per person for all cost components would be added to arrive at the total average cost per person for each respondent, which would then be compared with the current average United Nations reimbursement to arrive at the absorption factor for that respondent. The absorption factor would represent the percentage of the total cost incurred by the respondent that is not compensated for by the standard rates of reimbursement and is therefore absorbed by that respondent.

41. Finally, the overall average and median costs for all respondents would be calculated, excluding the highest and lowest 5 per cent of the responses, which would then be compared against the current average United Nations reimbursement to arrive at one overall absorption factor.

F. Periodicity of the review

42. As may be seen from table 1, the frequency of the revision of the rates of reimbursement has followed a random pattern, i.e., since inception in 1973 revisions have been made in 1977, 1980, 1991, 2001 and 2002, with the shortest period between revisions being 1 year and the longest period being 11 years. Should the Assembly decide that such revisions should take place at regular intervals, a five-year cycle would not appear to be unreasonable.

III. Actions to be taken by the General Assembly at its fifty-seventh session

43. **The actions to be taken by the General Assembly in connection with the review of the rates of reimbursement to the Governments of troop-contributing States are:**

(a) Approval of the proposed methodology and the proposed questionnaire for the review of the rates of reimbursement;

(b) Approval that the highest and lowest 5 per cent of valid responses would be excluded from the calculation of the average rate;

(c) A decision on the periodicity of the review;

(d) Approval to conduct the next survey and to decide on the reference date for the cost information.

Annex

Proposed questionnaire on the review of the rates of reimbursement to the Governments of troop-contributing States

Guidelines for the completion of the questionnaire

General

1. The questionnaire comprises a total of 7 pages, including the guidelines.

2. Data are to be based on average costs in national currency as at [date set by the General Assembly].

Title Page

1. Country — Select name from the drop-down menu.

2. Mission — For current troop contributors, select the peacekeeping operations from the drop-down menu to which the troop contributor has made its largest and most recent troop contribution. For former troop contributors, select "infantry" from the drop-down menu to represent a theoretical 800-person contribution.

3. Currency — Enter the troop contributor's national currency.

4. Number of troops — Enter the troop contributor's total number of troops based on item 2 above.

Part 1.A — Basic salary and allowances for service in the home country

Column 1: Enter the number of personnel by rank on the basis of the selection in item 2 of the Title page.

Column 2: Enter the average cost per person per month for basic salary by rank.

Column 3: Enter the average cost per person per month for local allowances by rank. Local allowances include accommodation, clothing and uniform, medical and education allowances.

Column 4: Enter the average cost per person per month for additional allowances not covered in column 3.

Part 1.B — Additional salary and allowances for service in United Nations peacekeeping operations

Column 1: Enter the number of personnel by rank on the basis of the selection in item 2 of the Title page.

Column 2: Enter the average cost per person per month for additional salary by rank.

Column 3: Enter the average cost per person per month for field overseas allowance by rank.

Column 4: Enter the average cost per person per month for foreign/war service allowance by rank.

Column 5: Enter the average cost per person per month for additional allowances not covered in Columns 3 and 4.

Part 2 — Personal clothing, personal gear and equipment

Column 1: Enter the unit cost of items of personal clothing, personal gear and equipment that are required for all personnel.

Column 2: Enter the number of personnel to whom additional items of personal clothing, personal gear and equipment are issued.

Column 3: Enter the unit cost of additional items of personal clothing, personal gear and equipment that are issued to a particular group or rank.

Part 3.A — Pre- and post-deployment medical costs

Enter the average cost per person for each type of medical examination, blood test and vaccine for pre- and post-deployment.

Part 3.B — Travel costs

Enter the average cost per person for the issuance of passports and the inland transportation of personnel to and from the point of embarkation and disembarkation on the basis of the usual mode of travel used by the troop contributor.

Part 4 — Pre-deployment peacekeeping training costs

Enter the average cost per person for pre-deployment peacekeeping training costs, including course fees, training materials, rental of training facilities, food and travel costs to the training venues.

United Nations

Review of the rates of reimbursement to the Governments of troop-contributing

Questionnaire

Country

Mission

Currency

Number of

For United Nations Secretariat Use Only

Exchange

Effective

Part 1.A - Basic salary and allowances for service in the home country

(In national currency)

Rank	*(1)* Number of personnel	*(2)* Basic salary	*(3)* Local allowances	*(4)* Additional allowances
		Average cost per person per month		
General				
Colonel				
Lieutenant-Colonel				
Commandant				
Major Adjutant				
Major				
Captain				
Lieutenant				
1st Lieutenant				
2nd Lieutenant				
Warrant Officer 1				
Warrant Officer 2				
Quartermaster Sergeant				
Staff Sergeant				
Sergeant				
Corporal				
Lance Corporal				
Private				

Part 1.B - Additional salary and allowances for service in United Nations peacekeeping operations

(In national currency)

Rank	(1) Number of personnel	(2) Additional salary	(3) Field overseas allowance	(4) Foreign/War service allowance	(5) Additional allowances
		Average cost per person per month			
General					
Colonel					
Lieutenant-Colonel					
Commandant					
Major Adjutant					
Major					
Captain					
Lieutenant					
1st Lieutenant					
2nd Lieutenant					
Warrant Officer 1					
Warrant Officer 2					
Quartermaster Sergeant					
Staff Sergeant					
Sergeant					
Corporal					
Lance Corporal					
Private					

Part 2 - Personal clothing, personal gear & equipment (soldier's kit)

(In national currency)

Items required for all personnel	(1) Unit cost	Additional items issued to a particular group or rank	(2) Number of personnel	(3) Unit cost
A. Personal clothing				
Belt, waist		Boots, rubber		
Boots, combat		Field working uniform		
Hand towel		Gloves		
Jacket, combat		Hat, uniform		
Handkerchief, pocket		Jacket / Parka		
Shirt, long-sleeved		Raincoat / Raindress		
Shorts		Suspenders		
Socks		Waterproof outer clothing		
Underpants				
Undershirts				
Uniform, combat				
B. Personal gear and equipment				
Brush, cleaning		Compass		
Helmet, combat		Gas mask		
Knife, dining		Handcuffs		
Mug, drinking		Hearing protection muffs		
First-aid kit		Leg /arms protector		
Flashlight		Pistol		
Fork		Rifle		
Fragmentation vest		Shield		
Mosquito net, individual				
Mess kit				
Raincoat				
Sleeping bag				
Spoon				
Survival kit				
Suspenders				
Toothbrush				
Travelling bag				
Water canteen				
Web equipment				

Part 3.A - Pre- and post-deployment medical costs

(In national currency)

Category	Average cost per person
Radiology examinations	
X-ray, chest	
X-ray, dental	
Blood tests	
ALAT	
ASAT	
Bilirubin	
Creatinine	
Gamma GT	
Glucose	
Haematocrit	
Haemoglobin	
Sedimentation rate	
Recommended vaccines	
Hepatitis A	
Hepatitis B	
Meningitis A & C	
Syringes	
Needle	

Part 3.B - Travel costs

(In national currency)

	Average cost per person
Passport	
Inland transportation costs to and from the point of embarkation and disembarkation	

Part 4 — Pre-deployment peacekeeping training

Type of training course	
Background on the United Nations — the United Nations Charter, the Organization, other United Nations agencies, national lessons learned	
United Nations peacekeeping operations — Evolution of United Nations peacekeeping operations, preventive deployment to peace enforcement, universal principles and guidelines, organization and composition of the Department of Peacekeeping Operations and United Nations peacekeeping operations	
Geopolitical information — geography, history, external influence, economy, political system, religion, armed forces/actions, demography, cultural awareness, threats and hazards	
Mission mandate — history of the mission, status of forces/mission agreements	
General military skills — organization of an Operations Centre, observation, reconnaissance and surveillance techniques, patrolling, driving skills, map reading and navigation, rapid-reaction force procedures	
United Nations peacekeeping skills — negotiation and mediation, rules-of-engagement comprehension, use of force, United Nations code of conduct, computer skills, personal communication skills, liaison requirements, weapon and belligerent forces recognition	
United Nations peacekeeping operational skills — use of force, checkpoint operation, escort duties, guarding key and vulnerable points, crowd and riot control, inspection and search, tracking and tailing, signal and communications	
Protective and safety measures — medical, first aid and preventive health measures, medical evacuation, survival skills, mine and exploded ordnance awareness, fortification/shelters, fire safety, United Nations marking-visibility, curfew and movement restrictions	
Medical/sexually-transmitted diseases — stress management, basic facts on HIV/AIDS, personal risk assessment, medical challenges for United Nations peacekeeping operations	
Administration and welfare — pay, compensatory time off/home leave, mail, welfare	
Logistics — personnel administration, deployment, contingent-owned equipment, inspections, petrol, oil and lubricants, food, self-sustainment	
Human rights and humanitarian issues — law of war, international human rights, gender issues, children's and women's issues, monitoring of human rights, International Committee of the Red Cross, refugees and internally displaced persons	
Civil/military cooperation — United Nations civilian staff, non-governmental organizations, host nation civilians, cultural sensitivity, local authorities, media	
Demobilization, disarmament and reintegration — definitions, agreements and international standards, main issues and integrated planning	
Average cost per person (in national currency):	